

PROCEDURAL GUIDE
FOR THE
NATURAL COMMUNITY CONSERVATION PLANNING (NCCP)
LOCAL ASSISTANCE GRANT PROGRAM



State of California – The Resources Agency
Department of Fish and Game

May 2003

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Introduction

This guide will assist public and non-profit entities in applying for and administering State grants from the Department of Fish and Game's Natural Community Conservation Planning Local Assistance Grant Program. A total of \$0.6 million is available annually for competitive grants to NCCP-participating entities for tasks associated with the implementation of Natural Community Conservation Plans (NCCPs).

Eligible Applicants

Eligible applicants include local jurisdictions that have a DFG-approved NCCP, or that anticipate having an approved NCCP within 12 months of grant application. Private and public (including academic institutions) non-profit entities [501(3)(c) organizations] that have shown an expressed interest in assisting with the implementation of NCCPs are also eligible to receive grant funds.

Eligible Projects

Grants are available for urgent tasks associated with the implementation of approved NCCPs, or NCCPs that are anticipated to be approved within 12 months of grant application. Routine, ongoing management activities are not eligible. Tasks that are eligible for funding include:

1. Immediate management actions on newly acquired NCCP preserve lands;
2. Restoration or enhancement of habitats or species populations on NCCP preserve lands;
3. Development and implementation of biological monitoring programs identified in an NCCP including establishing monitoring methods, monitoring plots, data collection, data analysis, and data management.
4. Acquisition (fee title or conservation easement acceptable to DFG) of land that is an essential part of an NCCP preserve system;
5. Development and implementation of preserve management plans;
6. Development and implementation of preserve/data tracking systems; and
7. Other priority items needed to ensure effective implementation of the NCCP.

It is the responsibility of the Grantee to ensure that all projects have completed all necessary compliance with the California Environmental Quality Act (CEQA).

Projects that are legally required as mitigation by a regulatory agency as a condition for a permit will not be funded under this program. However, a proposal which is in addition to any required mitigation, and a part of an overall undertaking, would be eligible.

Application Procedures

When to Apply

For the 2003/2004 Fiscal Year allocation of \$600,000, applications must be RECEIVED by June 30, 2003. Thereafter, June 30 will be the annual application deadline for NCCP Local Assistance Grants.

What to Submit

Separate proposals should be submitted for distinctly different tasks. A complete application consists of the following:

1. Application form (Appendix A) – 8 copies
2. Specific description of task, including an itemized list of the proposal objectives – 8 copies
3. Description of the task's relationship to the NCCP or Implementing Agreement – 8 copies
4. Explanation of why the task is an urgent implementation task – 8 copies
5. Itemized list and description of work products – 8 copies
6. Estimated schedule of tasks and deliverables – 8 copies
7. Cost estimate (Sample provided in Appendix B) – 8 copies
8. Indication of amount, type and source of other funds provided by Grantee for the task – 8 copies
9. Authorizing resolution from governing body (Sample provided in Appendix C) – 1 copy
10. Completed and signed Drug-Free Workplace Certification (Appendix D) – 1 copy
11. Completed and signed Nondiscrimination Compliance Statement (Appendix E) – 1 copy
12. An electronic copy of the text of the application (the brief description of project) and items 2-8 above, submitted in Microsoft Word/Excel format – 1 diskette

If a non-profit applicant:

13. 501(3)(c) certification – 1 copy
14. Articles of Incorporation – 1 copy
15. Bylaws – 1 copy

Where to Send

Applications should be sent to the following address:

NCCP Local Assistance Grant Program
Department of Fish and Game
4949 Viewridge Avenue
San Diego, CA 92123

Contact Information

Gail Presley, NCCP Program Manager
Habitat Conservation Planning Branch
1416 9th Street, Room 1260
Sacramento, CA 95814
(916) 653-9834
FAX (916) 653-2588
gpresley@dfg.ca.gov

Bill Tippetts, Environmental Program Manager
South Coast Region
4949 Viewridge Avenue
San Diego, CA 92123
(858) 467-4211
FAX (858) 467-4299
btippetts@dfg.ca.gov

Selection and Notification

Applications will be evaluated based on the benefits to: the conservation of the grantee's NCCP covered species; conservation of biological diversity; and the implementation of the NCCP. The primary factors that will be taken into consideration during this evaluation are: critical need, value gained relative to the cost, status of the NCCP planning effort, and the extent of local cost share of the task. In addition to the primary factors, special consideration will be given to projects that meet NCCP objectives and/or the specific subarea requirements; provide a partnership opportunity; provide an opportunity for application of the information or product to other planning efforts; or that allow the continuation of an ongoing project. Projects must produce a finished and usable product, report or action. Applicants will be notified of the final selections by September.

Project Administration

Normal Grant Process

1. Grantee completes and submits applications to DFG.
2. DFG reviews application materials and selects projects to receive funding.
3. DFG notifies Grantees of intent to award funds.
4. DFG develops and sends a contract to Grantee.

5. Grantee returns signed contract to DFG.
6. DFG returns a fully executed contract to Grantee.
7. Grantee commences work on project and may submit progress payment requests no more frequently than monthly. If desired, the Grantee may submit a single request for lump sum payment upon completion of the project.
8. If progress payments are requested, DFG will reimburse 90% of all expenses upon receipt of a Request for Progress Payment.
9. Grantee completes project and submits final deliverables and payment requests.
10. Project officer makes final project inspection and authorizes final payment (for 10% retention).
11. DFG may perform an audit of completed project.

NOTE: Please take into consideration that due to DFG's contracting procedures, executed contracts, and thus the approval to begin work, may not be released until the January following the grant application period. Projects and task schedules should be planned with that time frame in mind.

Changes to Approved Projects

A Grantee wishing to change the scope of an approved project (a modification of the task, not an increase in grant funds) shall submit the proposed change in writing to DFG for approval. If the proposed change is submitted after a formal contract has been established between DFG and the Grantee, a formal contract amendment will be required.

Time Extensions

A request for a time extension and its justification must be submitted in writing to DFG. DFG will determine whether the circumstances warrant a time extension, and if warranted, may approve the extension through a formal contract amendment. Due to fiscal restrictions however, contracts cannot be extended beyond March 30 of the third fiscal year. (For the 2001/2002 Fiscal Year beginning July 1, 2001, all contracts must end by March 30, 2004.)

Eligible Costs

Only project-related costs associated with an eligible project activity incurred during the project performance period specified in the grant agreement may be funded. All such costs must be supported by appropriate invoices, purchase

orders, canceled warrants, and other records. An example cost estimate is provided in Appendix C.

1. Personal services - Services of the Grantee's employees directly engaged in project execution are eligible costs. These costs must be computed according to the Grantee's prevailing wage or salary scales, and may include fringe benefit costs such as vacations, sick leave, social security contributions, etc. that are customarily charged to the recipient's various projects. Costs charged to the project must be computed on actual time spent on a project, and supported by time and attendance records describing the work performed on the project. Overtime costs may be allowed under the recipient's established policy, provided that the regular work time was devoted to the same project.
2. Consultant services - The costs of consultant services necessary for the project are eligible.
3. Equipment - Equipment owned by the Grantee may be charged to the project for each use. Equipment use charges must be made in accordance with the Grantee's normal accounting practices. The equipment rental rates published by the State Department of Transportation may be used as a guide. If the Grantee's equipment is used, a report or source document must describe the work performed, indicate the hours used, relate the use to the project, and be signed by the operator and supervisor.

Equipment may be leased, rented, or purchased, whichever is most economical. Any equipment and any nonexpendable materials, supplies, or property of any kind purchased from State funds under the terms of the grant agreements, and not fully consumed in the performance of the agreements, may become the property of the State or disposed of pursuant to instruction from the State at the termination of the agreement. Equipment is generally defined as all moveable articles of nonexpendable property that have a value of \$500 or more and a useful life of four years or more.

4. Miscellaneous supplies and materials – Supplies and materials may be purchased for a specific project.
5. Miscellaneous expenses – Expenses such as communications (e.g. telephone, postage), printing, and transportation costs (not to exceed rates established by the Department of Personal Administration) are eligible costs.
6. Acquisition - Costs of acquiring real property are eligible and may include the purchase price of the property, appraisals, surveys, preliminary title reports, escrow fees, and title insurance fees.

7. Overhead - Indirect costs, usually calculated as a percentage of the direct costs, are eligible. Generally, equipment is not subject to overhead, as it involves a one-time outlay of funds.

Payments of Grant Funds

All payments will be made by DFG to the Grantee on a reimbursement basis; advance payment will not be issued. At the time of contract preparation, the Grantee can choose to receive progress payments or to be paid in a lump sum upon completion of the project. If progress payments are desired, each Request for Payment (Appendix F) must be accompanied by a written description of the Grantee's performance under the agreement since the time the previous such report was prepared. DFG will reimburse the Grantee 90% of their incurred costs, and will withhold 10% pending satisfactory completion of all contract tasks. The remaining 10% will be reimbursed after project completion and upon receipt of a Request for 10% Retention (Appendix G). For lump sum payments, a single Request for Lump Sum Payment (Appendix H) shall be submitted upon completion of all contract tasks.

Grantee should allow four to six weeks to receive payment after submitting request for payment.

NOTE: For projects that were funded prior to the 2001/2002 fiscal year, the Grantees are NOT required to use the request for payment forms (Appendix F-H).

Accounting Requirements

The Grantee shall maintain an accounting system that accurately reflects fiscal transactions, with the necessary controls and safeguards. This system shall provide a good audit trail, including original source documents such as receipts, progress payments, invoices, time cards, etc. The system shall also provide accounting data so the total cost of each individual project can be readily determined. These records shall be retained for a period of three years after final payment is made by the state. **AVOID AUDIT EXCEPTIONS - KEEP ACCURATE RECORDS.**

State Audit

After completion of the project, the State may audit the project records. The purpose of the audit is to verify that project expenditures were properly documented. The audit would be requested by the state after the final payment request has been received, all project transactions have been completed, and the Grantee has made the necessary payments.

If your project is selected for audit, you will be contacted at least 30 days in advance. The audit should include all books, papers, accounts, documents, or other records of the Grantee, as they relate to the project for which State funds

were granted. Projects may be audited at any time up to three years after project completion.

To expedite the audit, the recipient shall have the project records, including the source documents and cancelled warrants, readily available. The Grantee shall also provide an employee having knowledge of the project and the accounting procedure or system to assist the state auditor. The Grantee shall provide a copy of any document, paper, record, or the like requested by the state auditor.

All project records must be retained by the Grantee for a period of not less than one year after the State audit or final disposition of any disputed audit findings.

APPENDIX A
APPLICATION FORM

**State of California — The Resources Agency
DEPARTMENT OF FISH AND GAME**

APPLICATION FOR NCCP LOCAL ASSISTANCE GRANT

THIS FORM AND REQUIRED ATTACHMENTS MUST BE SUBMITTED FOR EACH PROJECT.

PROJECT NAME	AMOUNT OF GRANT REQUESTED \$	
	ESTIMATED TOTAL PROJECT COST (State grant and other funds) \$	
GRANT APPLICANT (AGENCY AND MAILING ADDRESS)	COUNTY	
GRANT APPLICANT'S REPRESENTATIVE AUTHORIZED IN RESOLUTION	PHONE	FAX
TITLE	E-MAIL ADDRESS	
PERSON WITH DAY-TO-DAY RESPONSIBILITIES FOR PROJECT IF DIFFERENT FROM AUTHORIZED REPRESENTATIVE	PHONE	FAX
TITLE	E-MAIL ADDRESS	
BRIEF DESCRIPTION OF PROJECT		
I certify that the information contained in this project application form, including required attachments, is accurate.		
SIGNED (Grant applicant's authorized representative as shown in resolution)		DATE

APPLICATION FOR NCCP LOCAL ASSISTANCE GRANT (Reverse)

IMPORTANT

All State requirements must be met and a Contract signed before any funds will be disbursed.
An audit may be performed before or after final payment.

An Application for grant funds consists of each of the following:

1. Application Form
2. Specific description of task, including an itemized list of the proposal objectives.
3. Description of the task's relationship to the NCCP or Implementing Agreement.
4. Explanation of why the task is an urgent implementation task.
5. Itemized list and description of work products.
6. Estimated schedule of tasks and deliverables.
7. Cost estimate.
8. Indication of amount, type and source of funds above grant provided by Grantee.
9. Authorizing Resolution from governing body.
10. A completed and signed Drug-Free Workplace Certification, Std 21.
11. A completed and signed Nondiscrimination Compliance Statement, Std 19.

If a nonprofit applicant:

12. A copy of the 501(3)(c) certification.
13. A copy of the Articles of Incorporation.
14. A copy of the Bylaws.

APPENDIX B
SAMPLE COST ESTIMATE

SAMPLE COST ESTIMATE

Personal Services

Staff Salaries	
Researcher I (250 hrs @ \$28.00/hr)	\$ 14,000
Field Assistant @ (200 hrs. @ \$10.00/hr)	\$ 4,000
Data Clerk (100 hrs @ \$8.00/hr)	\$ 1,600

Staff Benefits	
Researcher I @ 20%	\$ 2,800
Field Assistant @ 20%	\$ 800
Data Clerk @ 15%	\$ 240

Total Personal Services	\$ 23,440
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Operating Expenses & Equipment

Travel (Mileage @ \$0.31/mile)	\$ 500
Miscellaneous Office Supplies/Expenses (Including photocopies, postage, etc.)	\$ 1,000

Total Operating Expenses & Equipment	\$ 1,500
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Subcontracting (Consultant Services)	\$ 3,000
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Overhead @ 15% of direct costs	\$ 4,191
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TOTAL	\$ 32,131
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APPENDIX C
SAMPLE RESOLUTION

SAMPLE RESOLUTION

Resolution No: _____

RESOLUTION OF (GOVERNING BODY OF THE GRANTEE) AUTHORIZING THE APPLICATION AND ACCEPTANCE OF GRANT FUNDS FOR (PROJECT NAME)

WHEREAS, certain local assistance grant funds are made available annually on a competitive basis by the California Department of Fish and Game for Natural Community Conservation Planning (NCCP) Program urgent implementation tasks; and

WHEREAS, the grants are awarded pursuant to guidelines established by the California Department of Fish and Game for determination of project eligibility for funds; and

WHEREAS, said procedures established by the California Department of Fish and Game require the Grantee to certify by resolution the approval to apply for, and accept grant funds and provide authorization to enter into an agreement with the California Department of Fish and Game to implement urgent activities related to the NCCP Program.

NOW, THEREFORE, BE IT RESOLVED that the (GRANTEE) approves the filing of an application for local assistance for the above project(s) in the amount of (DOLLAR AMOUNT).

IT IS FURTHER RESOLVED that the (GRANTEE) appoints the (DESIGNATED POSITION, not person occupying position) as agent to conduct all negotiations, execute and submit all documents including, but not limited to applications, agreements, payment requests and so on, which may be necessary for the completion of the aforementioned project(s).

APPENDIX D
DRUG-FREE WORKPLACE CERTIFICATION

Insert Drug-Free Workplace Certification Form Here.

This form can be found at the web page below.

<http://www.documents.dgs.ca.gov/osp/pdf/std021.pdf>

APPENDIX E
NONDISCRIMINATION COMPLIANCE STATEMENT

INSERT NONDISCRIMINATION COMPLIANCE STATEMENT HERE

This form can be found at the website listed below.

<http://www.documents.dgs.ca.gov/osp/pdf/std019.pdf>

APPENDIX F
PROGRESS PAYMENT REQUEST FORM

State of California – The Resources Agency
DEPARTMENT OF FISH AND GAME

PROGRESS PAYMENT REQUEST

NCCP Local Assistance Grant Program

See Instructions on reverse

1. INVOICE NUMBER

2. CONTRACT NUMBER

3. GRANTEE

4. PROJECT TITLE

5. TIME PERIOD COVERED

6. PAYMENT INFORMATION

a. Grant Project Amount \$ _____

b. Funds Requested To Date \$ _____

c. 10% Retention Withheld To Date (10% of b.) \$ _____

d. Funds Available (a. minus b.) \$ _____

e. Amount Of This Request \$ _____

f. Amount Of This Request Less 10% Retention \$ _____

g. Remaining Funds After This Payment (d. minus e.) \$ _____

7. SEND WARRANT TO

GRANTEE NAME

STREET ADDRESS

CITY/STATE/ZIP CODE

ATTENTION

8. SIGNATURE OF PERSON AUTHORIZED IN RESOLUTION

TITLE

DATE

FOR CALIFORNIA DEPARTMENT OF FISH AND GAME USE ONLY

PAYMENT APPROVAL SIGNATURE

DATE

I, hereby, certify that the goods/services were received by and for the use of the State of California. The goods/services are in acceptable condition except as otherwise indicated.

PROGRESS PAYMENT REQUEST INSTRUCTIONS

One Payment Request Form must be submitted for each grant project

The following instructions are keyed to corresponding items on the Payment Request Form:

1. INVOICE NUMBER – Assigned by the Grantee.
2. CONTRACT NUMBER -- As shown on the project contract.
3. GRANTEE -- GRANTEE name as shown on the project contract.
4. PROJECT TITLE -- Title of project for which payment is requested.
5. TIME PERIOD COVERED – The period of time in which the costs were incurred (e.g. January 1, 2001 – January 30, 2001)
6. PAYMENT INFORMATION (Note: Information on 10% withholdings from progress payments is NOT requested.)
 - (a) Grant Project Amount -- The amount of state grant funds allocated to this project.
 - (b) Funds Requested to Date -- Total amount already requested for this project.
 - (c) 10% Retention Withheld to Date – (10% of b.)
 - (d) Funds Available -- (a. minus b.)
 - (e) Amount of This Request -- Amount that is being requested.
 - (f) Amount of This Request Less 10% Retention -- Amount requested less 10%.
 - (g) Remaining Funds After This Payment -- (c. minus d.)
7. SEND WARRANT TO – Grantee name, address and contact person.
8. SIGNATURE OF AUTHORIZED REPRESENTATIVE.

APPENDIX G
REQUEST FOR 10% RETENTION

State of California – The Resources Agency
DEPARTMENT OF FISH AND GAME

REQUEST FOR 10% RETENTION

NCCP Local Assistance Grant Program

See Instructions on reverse

1. INVOICE NUMBER

2. CONTRACT NUMBER

3. GRANTEE

4. PROJECT TITLE

5. PAYMENT INFORMATION

a. Grant Project Amount \$ _____

b. Funds Requested To Date \$ _____

c. 10% Retention Withheld To Date \$ _____

d. Amount Of This Request (same as c.) \$ _____

6. SEND WARRANT TO

GRANTEE NAME

STREET ADDRESS

CITY/STATE/ZIP CODE

ATTENTION

7. SIGNATURE OF PERSON AUTHORIZED IN RESOLUTION

TITLE

DATE

I hereby certify that all grant funds were expended on the above named project(s) and that the project(s) is complete and we have made final payment for all work done.

FOR CALIFORNIA DEPARTMENT OF FISH AND GAME USE ONLY

PAYMENT APPROVAL SIGNATURE

DATE

I, hereby, certify that the goods/services were received by and for the use of the State of California. The goods/services are in acceptable condition except as otherwise indicated.

REQUEST FOR 10% RETENTION INSTRUCTIONS

One Payment Request Form must be submitted for each grant project

The following instructions are keyed to corresponding items on the Payment Request Form:

1. INVOICE NUMBER – Assigned by the Grantee.
2. CONTRACT NUMBER -- As shown on the project contract.
3. GRANTEE -- GRANTEE name as shown on the project contract.
4. PROJECT TITLE -- Title of project for which payment is requested.
5. PAYMENT INFORMATION (Note: Information on 10% withholdings from progress payments is NOT requested.)
 - (a) Grant Project Amount -- The amount of state grant funds allocated to this project.
 - (b) Funds Requested to Date -- Total amount already requested for this project.
 - (c) 10% Retention Withheld to Date – (10% of b.)
 - (d) Amount of This Request – This should be the same amount as c.
6. SEND WARRANT TO – Grantee name, address and contact person.
7. SIGNATURE OF AUTHORIZED REPRESENTATIVE.

APPENDIX H
REQUEST FOR LUMP SUM PAYMENT

State of California – The Resources Agency
DEPARTMENT OF FISH AND GAME

REQUEST FOR LUMP SUM PAYMENT

NCCP Local Assistance Grant Program

See Instructions on reverse

1. INVOICE NUMBER

2. CONTRACT NUMBER

3. GRANTEE

4. PROJECT TITLE

5. TIME PERIOD COVERED

6. PAYMENT INFORMATION

a. Grant Project Amount \$ _____

b. Amount Of This Request \$ _____

c. Funds Remaining (a. minus b.) \$ _____

7. SEND WARRANT TO

GRANTEE NAME

STREET ADDRESS

CITY/STATE/ZIP CODE

ATTENTION

8. SIGNATURE OF PERSON AUTHORIZED IN RESOLUTION

TITLE

DATE

I hereby certify that all grant funds were expended on the above named project(s) and that the project(s) is complete and we have made final payment for all work done.

FOR CALIFORNIA DEPARTMENT OF FISH AND GAME USE ONLY

PAYMENT APPROVAL SIGNATURE

DATE

I, hereby, certify that the goods/services were received by and for the use of the State of California. The goods/services are in acceptable condition except as otherwise indicated.

REQUEST FOR LUMP SUM PAYMENT INSTRUCTIONS

One Payment Request Form must be submitted for each grant project

The following instructions are keyed to corresponding items on the Payment Request Form:

1. INVOICE NUMBER – Assigned by the Grantee.
2. CONTRACT NUMBER -- As shown on the project contract.
3. GRANTEE -- GRANTEE name as shown on the project contract.
4. PROJECT TITLE -- Title of project for which payment is requested.
5. TIME PERIOD COVERED -- The period of time in which the costs were incurred (e.g. January 1, 2001 – January 30, 2001)
6. PAYMENT INFORMATION (Note: Information on 10% withholdings from progress payments is NOT requested.)
 - a. Grant Project Amount -- The amount of state grant funds allocated to this project.
 - b. Amount Of This Request – The amount that is being requested.
 - c. Funds Remaining – The amount of funds remaining (a. minus b.)
7. SEND WARRANT TO – Grantee name, address and contact person.
8. SIGNATURE OF AUTHORIZED REPRESENTATIVE.